



MISSOURI DEPARTMENT OF HEALTH AND SENIOR SERVICES
BUSINESS MANAGEMENT ASSESSMENT

For Fiscal Year 2006-2007

Federal funds must be expended under the provisions of applicable federal Act(s), federal administrative requirements, and federal cost principles. DHSS must have sufficient information concerning the contractor/provider and its financial management system prior to awarding federal funds through a financial assistance contract, mini-initiative, or agreement to assure compliance with these provisions and requirements. A new Business Management Assessment form must be submitted to the Department, postmarked by April 30, for each year that you are receiving and/or applying for federal funds from the Department of Health and Senior Services. Please submit the completed form by mail to: Department of Health and Senior Services, Division of Administration, P.O. Box 570, Jefferson City, Missouri 65102 or electronically submit to BMA@dhss.mo.gov

A. CONTRACTOR/PROVIDER INFORMATION:

1. BUSINESS NAME		2. EMPLOYER IDENTIFICATION NUMBER	
3. MAILING ADDRESS		4. CITY	5. STATE
		6. ZIP CODE	

CONTACT INFORMATION

7. EXECUTIVE CONTACT	PHONE NUMBER	EMAIL ADDRESS
8. FINANCIAL CONTACT	PHONE NUMBER	EMAIL ADDRESS

9. INDICATE YOUR BUSINESS TYPE (Check the appropriate box):

<input type="checkbox"/> Government	<input type="checkbox"/> Institution of Higher Education	<input type="checkbox"/> Elementary/Secondary Education
<input type="checkbox"/> Hospital	<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> General and Business Corporation
<input type="checkbox"/> Nonprofit Corporation	<input type="checkbox"/> Professional Corporation (PC)	<input type="checkbox"/> General or Limited Partnership
<input type="checkbox"/> Limited Liability Company (LLC)	<input type="checkbox"/> Other, specify: _____	

10. IS YOUR BUSINESS REGISTERED WITH THE MISSOURI SECRETARY OF STATE? Yes No	11. CHARTER NUMBER
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B. FISCAL INFORMATION:

YES	NO	1. Financial Management System	YES	NO	2. Federal Funds History
		a. Have you had an OMB Circular A-133 audit within the last three years? (If NO, answer the following questions. If YES, you can skip all of question 1 and go directly to question 2. Federal Funds History)	<input type="checkbox"/>	<input type="checkbox"/>	a. Were you awarded federal funds within the last three years?
		b. Do you have a fund accounting system capable of producing accurate, current, and complete disclosures of financially assisted activities in accordance with the financial reporting requirements of each federally funded program in which you participate?	<input type="checkbox"/>	<input type="checkbox"/>	b. In one year, did you expend \$500,000 or more in federal funds (from all sources)?
		c. Do you have written procedures to ensure that all transactions are recorded in a timely, accurate manner and produces records that identify the source and use of the federal funds?			c. Have your financial statements been audited by an independent certified public accountant (CPA) within the last two years? If YES, attach a copy of your audit opinion letter and any management letters issued.
		d. If you answered YES to the previous question, do your written policies and procedures include a section for:	d. Details of Federal Funds Expended In the table below, list the federal funds you received during your most recent fiscal year in which you received federal funds. Attach additional pages if necessary. You may skip this section if you had an OMB Circular A-133 Audit within the last three years.		
		i. Ethics and professional conduct?	Fiscal Year	Federal Program Name	Amount Spent
		ii. Personnel?			
		iii. Accounting Transactions?			
<input type="checkbox"/>	<input type="checkbox"/>	iv. Property and Equipment?			
<input type="checkbox"/>	<input type="checkbox"/>	v. Records Retention?			
<input type="checkbox"/>	<input type="checkbox"/>	vi. Purchasing?			
<input type="checkbox"/>	<input type="checkbox"/>	1. Do written purchasing policy and procedures specify code of conduct standards requiring all employees or officers (and their immediate families) not to solicit or accept gratuities, favors, or anything of monetary value from contractors or potential contractors?	<input type="checkbox"/>	<input type="checkbox"/>	a. Have you filed an annual registration report within the last year with the Missouri Secretary of State's Office?
			<input type="checkbox"/>	<input type="checkbox"/>	b. Did you have at least one board meeting last year?
			<input type="checkbox"/>	<input type="checkbox"/>	c. Do you maintain minutes of all your board of director's meetings?
<input type="checkbox"/>	<input type="checkbox"/>	2. Do written purchasing policy and procedures establish conflict of interest standards in fact and appearance?			

4. I certify that the information contained in this assessment is complete and correct, and that we accept responsibility for maintaining a financial management system to comply with the provisions of the applicable federal Act(s) and other related requirements for federal funds.

CERTIFIED BY: (Printed Name and Title)	AUTHORIZED SIGNATURE	DATE
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Instructions for the Business Management Assessment form - MO 580-2755 (3-06)

A. CONTRACTOR/PROVIDER INFORMATION:

1. Business Name. Enter your entity's legal business name. If you have multiple locations with differing names or locations, lists the name of headquarters or main business in this box. Attach an additional sheet(s) listing the name, address, and contact information for your other location. You **do not** need to fill out a separate Business Management Assessment (BMA) form for each location.
2. Enter your Federal Employer Identification Number.
3. Mailing Address. Enter your business street address or post office box number.
4. City. Enter your business city.
5. State. Enter your business state.
6. Zip code. Enter your business zip code.
7. Executive Contact. Enter your chief executive's name, phone number, fax number, and email address. This person should be knowledgeable in the federal programs in which your entity participates.
8. Financial Contact. Enter the person's name, phone number, fax number and email address. This person is responsible for financial recordkeeping for the entity.
9. Indicate your business type. Please do not select more than one business type.
10. Is your business registered with the Missouri Secretary of State? Check the box that corresponds to the correct answer.
11. Charter Number. Enter the charter number listed on your Secretary of State certification. Or enter N/A if you do not have to register with the SOS Office e.g., schools.

B. FISCAL INFORMATION:

1. Check the YES column or NO column that corresponds to your answer.
 - a. Financial Management System: If you had an OMB Circular A-133 audit within the last three years, you may skip the remaining questions under Financial Management Systems and proceed to the next section. If you have not had an OMB Circular A-133 audit within the last three years you, must complete all questions in this section. OMB Circular A-133 requires an audit of those entities expending \$500,000 or more in federal funds within a fiscal year. This audit is also referred to as a Single Audit. Your audit report will tell you whether or not the audit is a Single Audit as required by OMB Circular A-133. Your accountant should also be able to tell you whether any audits you have had were Single Audits.
 - b. Check this question YES if your accounting system identifies the source and application of federal funds. The records must contain information pertaining to the federal funds and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, income, and interest. Accounting records must be supported by such source documentation as cancelled checks, paid invoices, payrolls, time and attendance records, and contract documents. The accounting system must allow comparison of outlays with budget amounts for each federal program. The accounting system must be capable of producing accurate, current, and complete disclosure of the financial results of each federally sponsored project or program.
 - c. Federal guidelines require recipients of federal funds to have written procedures for timely recording and for determining the reasonableness, allocability, and allowability of costs in accordance with the provisions of the applicable federal cost principles, agency regulations, and contract terms and conditions.
 - d. Do your written policies and procedures include a section for:
 - i. Ethics and professional conduct – standards of conduct governing the performance of employees involved in purchasing and contract award and administration. Recipients must create safeguards against conflicts of interest and kickbacks and establish disciplinary actions to be used in case of a violation.
 - ii. Personnel – position descriptions; the recruiting and hiring process; pay scales and compensation; fringe benefits; timekeeping methods; and termination policy.
 - iii. Accounting Transactions – discussed under b above.
 - iv. Property and Equipment – equipment records; inventory and control requirements; maintenance procedures; disposition procedures.
 - v. Records Retention – details how long to keep financial and programmatic records by type of document.
 - vi. Purchasing – establishes internal controls and includes codes of conduct, competition, purchasing procedures, cost and price analysis, and purchasing records.

If you participate in just one federal program and have received and follow a comprehensive program manual that covers the fiscal areas listed in question 1.b. –1.d., then you may answer all the questions in section B.1. YES. For example, the CACFP program has a comprehensive manual that addresses each of the fiscal areas listed. Therefore, if you only receive federal funds through the CACFP program, you may answer Financial Management Systems as YES even if you don't have separate written policies and procedures for your entity.

2. Federal Funds History: All contractors/providers answer these questions. For questions a, b, and c check the YES column or NO column that corresponds to your answer.
 - a. A majority of the funds providers receive from DHSS are federal funds, such as CACFP, WIC, Summer Food Program, etc.
 - b. Check the appropriate box.
 - c. This refers to an audit by a CPA firm, not a monitoring review by Department of Health and Senior Services program staff.
 - d. Complete the table as indicated. If your accounting program produces summary reports, you may attach the summary report(s) to the BMA form instead of completing the table. If you have had an A-133 audit within the last three (3) years, you may skip question 2.d.
3. Corporations: All corporations, including nonprofit corporations and professional corporations, complete this section. For questions a, b, and c check the YES column or NO column that corresponds to your answer. Business organizations that are **not** corporations may skip question 2.